

# **Schedule 92**

## **NEBRASKA DEPARTMENT OF CORRECTIONAL SERVICES**

September 1, 2006

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

SCHEDULE

**92**

AGENCY, BOARD OR COMMISSION

**Department of Correctional Services**

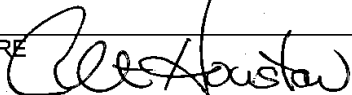
DIVISION, BUREAU OR OTHER UNIT

**Supersedes edition of July 6, 1977**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

*Director*

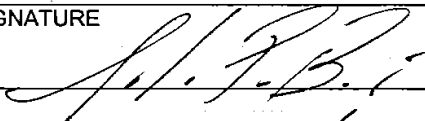
DATE

*August 29, 2006*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



STATE ARCHIVES

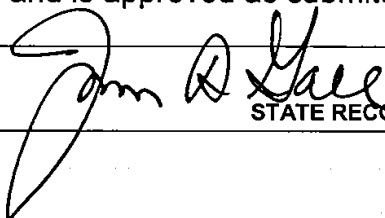
DATE

*8/31/06*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



STATE RECORDS ADMINISTRATOR

DATE

*Sept 1, 2006*

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 92 - NEBRASKA DEPARTMENT OF CORRECTIONAL SERVICES**

### **92-1      CENTRAL OFFICE RECORDS**

#### **92-1-1      ADMINISTRATIVE RECORDS**

##### **92-1-1-1      ACCOUNTING**

###### **92-1-1-1-1      INMATE ACCOUNTING RECORDS**

May include the following records; bank deposit books, check stubs, receipt books (all institution receipt books will be sent to DCS inmate accounting at end of each fiscal year), release statements, store tapes, spending money requests.

**Dispose of after end of 3 fiscal years, provided an audit has been completed. <sup>1</sup>**

###### **92-1-1-1-2      INMATE TRUST RECORDS**

May include the following records:

Cancelled Inmate Trust Checks

Institutional Checks (DCS A-acc-010)

Adult Inmate Work Reports

Receipts from all institutions

- a. DEC Admissions Envelope destroyed when DEC receipt is microfilmed
- b. All other items left attached to receipts are destroyed after receipt is microfilmed.

Inmate Payment Documents

Inmate files

- a. Inmate Interview request forms and correspondence
- b. Notice to Withhold Support, Prisoner Payment Order from Courts and all other court order.
- c. Restitution Disciplinary Action Sheets & transportation charges documents
- d. Parole Board letters
- e. Community Service waiver documents

**ORIGINAL RECORD: Microfilm and destroy originals after 3 fiscal years.**

**SECURITY MICROFILM: Transfer to the State Records Center, dispose of after 20 years.**

**MICROFILM WORK COPY: Dispose of after 20 years.**

**92-1-1-1-3 INMATE PAY/INMATE STORE RECORDS**

May include the following records:

Detail Pay Report by Work Area

Inmate Position Staffing Report

Summary Pay Report

Transactions by Account Type – Monthly

Monthly Adjustment Detail for Stores

Store Inventory Report

Detail Pay Report By Inmate Name

Data file from Corrections Inmate Tracking System (on CD). (No security copy created since electronic data is retained and managed by Corrections Inmate Tracking System).

**Dispose of after 20 years.**

**92-1-1-1-4 CORNHUSKER STATE INDUSTRIES INMATE WORK  
CONTRACT FOR DIRECT EMPLOYMENT BY PRIVATE  
VENTURE RECORDS**

May include the following records; employer check stubs, pay listings from employer, all private Venture reports, all private Venture spread sheets, family Support – Savings Distribution Request, W-4's

**Dispose of 20 years after termination of the private venture contract.**

**92-1-1-1-5 INMATE BALANCING RECORDS**

May include the following records; running bank balance folder by month, daily receipts & checks written to CIT Posting (daily check & receipt balancing Sheets), monthly Transactions by code, checking account transaction registers, journal entries relating to trust fund, daily inmate account balance report for last day of each month, store escrow sheets, bank statements and void checks, outstanding checks listing

**Dispose of after the end of 5 fiscal years, provided audit has been completed.<sup>1</sup>**

**92-1-1-1-6 MONTHLY INMATE TRUST FUND REPORTS/ACCOUNTS  
RECORDS**

Monthly trust fund reports and accounts. Trust fund accounts are stored on microfilm for dates from July 1986 to April 1997. Stored electronically from May 1997 to present.

Electronic data is retained and managed by Corrections Inmate Tracking System.

**SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 20 years.**

**MICROFILM WORK COPY: Dispose of after 20 years.**

**92-1-1-1-7 MONTHLY REPORTS FROM CORRECTIONS INMATE  
TRACKING SYSTEM**

May include the following reports; parole account Information, parole account monthly summary, monthly interest calculations, savings account reports, savings Average daily balance report, missing Inmate work report, monthly suspense report, monthly maintenance report, withholding from court orders for support, fines, or restitution, court filing fees, amounts remitted to courts for support & non-support, daily court order report, batch balance report, daily transaction by code report, release savings report, freeze log, monthly support/non-support reconciliation, daily inmate account balance report for all other days except last day, monthly restitution report

**Dispose of after the end of 5 fiscal years, provided audit has been completed.<sup>1</sup>**

**92-1-1-1-8 GRANT MASTER FILE RECORDS**

May include the following records; application, award documentation, financial records, program manager reports, correspondence

**Dispose of 5 years after end of grant, provided audit has been completed.<sup>1</sup>**

**92-1-1-1-9 JAIL REIMBURSEMENT CLAIMS**

Claim forms and certification records submitted by counties for reimbursement for holding state prisoners.

**Dispose of after the end of 5 fiscal years, provided audit has been completed.<sup>1</sup>**

**92-1-1-1-10 CORRECTIONS TRUST ACCOUNTING (CTA) &  
(CORRECTIONS OPERATIONS PAYROLL) COP RECORDS  
USED PRIOR TO 1997**

May include the following records:

Club Escrow sheets  
Correction Update list COP 126  
Daily Balance sheet CTA 120-1  
Daily Transaction by Store CTA100-1  
Daily Transactions by code CTA 100-2  
Detail Pay Reports COP 111-1  
Detailed Pay reports COP 111-1  
General Ledgers CTA 190  
Man-Power Report COP 210  
Missing Documents List COP 101-2  
Monthly Spending Acct Balance Listing CTA 020  
Monthly CTA balancing reports  
Monthly Transactions by code CTA 100-2  
Offenders Staffing Pattern COP 201  
Payroll breakdown, Generated By  
Payroll Edit Error List COP 096  
Payroll error list COP 101  
Center checks DCS A-357  
Endorsement Log (NCW)  
EU Store orders DCS C-151  
Manual Ledger CTA  
Money Log DCS A-472  
Recap List DCS A-485  
Summary Pay Reports COP 111-2  
Summary Trans Code CTA 100-2  
Trust Acct. Transaction by Tran Code CTA-020  
Work Area Payroll Edit Error List COP 097  
CCO - CCL Maintenance reports  
Closed Savings acct Passbooks  
Facility Receiving Log Sheets DCS A-414  
PC Generate Maintenance Lists  
Resident Trust Fund deposit  
Uncollectible Restitution Travel Order

**Dispose of after the end of 5 fiscal years, provided audit has been completed.<sup>1</sup>**



**92-1-1-1-11 BUDGET STATUS REPORT/ALLOTMENT STATUS REPORT**

Report listing detailed expenditures of budgets.

**Dispose of after 15 years.**

**92-2 FACILITY RECORDS**

**92-2-1 ADMINISTRATIVE RECORDS**

**92-2-1-1 FIRE ALARM INSPECTION REPORTS**

Quarterly and annual inspection reports of the fire alarm system.

**Dispose of after 3 years.**

**92-2-1-2 FIRE DRILL EVALUATION FORMS**

Internal form used to evaluate fire drills at each correctional facility.

**Dispose of after 3 years.**

**92-2-1-3 MONTHLY STATISTICAL REPORTS**

Reports on currently incarcerated inmates, new admissions, discharges, paroles, revocations, etc.

**ORIGINAL RECORD: Microfilm after 1 year and destroy originals.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**92-2-2 INMATE RECORDS**

**92-2-2-1 ADULT INMATE LITIGATION REPORT FILES**

Loose leaf formatted file jacket consisting of Litigation Reports (research data, statements, exhibits, answer to "facts"), discovery documentation, court correspondence (memos, reports) and Final Judgments.

**Retain permanently.**

**92-2-2-2 ADULT INMATE LITIGATION LOG SHEETS**

Loose leaf file reflecting one line entries of civil rights case status consisting of case number/plaintiff(s)/defendant(s)/summary of content(s)/due date/AGO representative/disposition.

**Retain permanently at facility of action.**

**92-2-2-3 ADULT INMATE GRIEVANCE LOG**

Each DCS Institution and Central Office shall maintain a log of inmate grievances filed. This log will contain: Date grievance received by staff member; inmate name and number; nature of grievance; date response is delivered to inmate; data of DCS Director's response; date Director's response delivered; CEO's disposition and reason(s); date of appeal; disposition of appeal.

**Retain permanently.**

## **92-2-3      ADULT INMATE RECORDS**

### **92-2-3-1      ADULT INMATE CENTRAL FILE**

File required for each individual assigned to the Department of Correctional Services. Retain entire file until 3 years after date of discharge from incarceration or parole, whichever applies. Then divide file and dispose as follows:

#### **MICROFILM AND DESTROY ORIGINALS:**

JACKET FRONT,  
CLASSIFICATION STUDY(S),  
COMMITMENT ORDER(S),  
CERTIFICATE OF DISCHARGE,  
MISCONDUCT LOG,  
FINGERPRINT CARD (1985 and later),

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

INMATE PHOTOGRAPHS (Admission/Updates/Dress-Out): Transfer to the State Archives 30 years after date of discharge from incarceration or parole, whichever applies; retain permanently.

FINGERPRINT CARD (1984 and prior): Dispose of 30 years after date of discharge from incarceration or parole, whichever applies.

ALL REMAINING RECORDS IN THE FILE: Dispose of at the time of microfilming.

### **92-2-3-2      ADULT INMATE COUNSELOR TREATMENT FILE**

File retained by counselor consisting of "working" copies of records pertaining to inmate status and control.

Transfer file to the Adult Inmate Central File, item 92-2-3-1, upon release of inmate.

### **92-2-3-3      ADULT INMATE DETAINER FILE**

File retained by DCS Detainer Administrator. File provides all "original" documentation concerning the inmate's status pertaining to the Interstate/Instate Compact Agreement on detainers. Correspondence concerns: Prosecutor's Actions; Expense Vouchers; Additional Sentences; Dismissal Documents.

Dispose of 5 years after date of discharge from incarceration or parole, whichever applies.

### **92-2-3-4      ADULT INMATE PAROLE ABSCONDER FILE**

File retained by DCS Detainer Administrator. File provides all "original" documentation concerning the inmate's status as a parole absconder. Correspondence concerns: Departmental Reports; Absconder Warrant for Arrest; Apprehension Information; Expense Vouchers; Prosecutor's Actions.

Dispose of 5 years after date of discharge from incarceration or parole, whichever applies.

**92-2-3-5 ADULT INMATE ESCAPE FILE**

File retained by DCS Detainer Administrator. File provides all "original" documentation concerning the inmate's status as an escapee. Correspondence concerns: Departmental Reports; Escape Warrant for Arrest; Apprehension Information; Expense Vouchers; Prosecutor's Actions.

**Dispose of 5 years after date of discharge from incarceration or parole, whichever applies.**

**92-2-3-6 ADULT INMATE MEDICAL FILE**

File maintained on each individual committed to the Department. File is maintained by the medical department in the facility where the inmate is housed. This file is forwarded to the Central Office Medical Records Clerk when the inmate is released. The file may include, but is not limited to, the following: chronological record of medical care, exams, medication list, lab reports, diabetic testing records, EKG reports, psychiatric evaluations/consults, and miscellaneous medical reports.

**Dispose of 5 years after date of discharge from incarceration or parole, whichever applies.**

**92-2-3-7 ADULT INMATE MENTAL HEALTH FILE**

File retained on adult inmates who were referred to mental health services in the Department of Correctional Services.

**Retain entire file until 5 years after date of discharge, then microfilm and return the following records to the Mental Health Department at LCC where they will be destroyed:**

Psychiatric notes to include the last medical check.

Psychological evaluations to include psychological contacts for inmates in any of the various segregated statuses.

Initial screening or initial contact notes if thorough enough (includes family, social history, previous psychological and psychiatric history, listing of problems).

Treatment plans

Significant treatment team reviews

Discharge summaries

MMPI test profiles

MSI test profiles

Transfer recommendations

Legal records to include: involuntary medication, Lincoln Regional

Center transfers and consent to discharge forms.

**Dispose of all remaining records in the file at the time of microfilming.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**92-2-3-8 ADULT INMATE MENTAL HEALTH LOGS**

Lists of all individuals handled by the Mental Health Unit. It includes name special needs, etc.

**Dispose of 25 years after date of discharge.**

**92-2-4      JUVENILE STUDENT RECORDS**  
**Transferred to Health & Human Services System.**

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**NOTE**

*1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet